

**State of Georgia
State Records Committee
Records Retention Schedule**

Application #: 971001-02

Sheet: 1 of 2

Schedule #: 00-0173A

Effective Date: 10/14/97

Supersedes Schedule #: 00-0173A

Effective Date: 06/05/86

Agency Code: 0484

Agency: Department of Transportation

Creating Office: Construction Division

Series/Title

Dates: Highway Project Management Files, 1977 - Ongoing
(District Office Reference File)

Access: Open

Class: Common (Division-wide)

Function

Documented: The Construction Division is responsible for supervision and management of highway construction statewide, through the Department's seven districts. Centrally the Division also controls materials quality through its central laboratory (and six branch laboratories) and processes all construction pay statements through its Office of Contract Administration. Through its District Offices, all construction project activities are directly managed and documented by local engineering technical personnel. The documentation includes, but is not limited to project diaries, which reflect daily progress and conditions on the project; inspection diaries which reflect quantity of material that was placed on the project; and pay item records, which are the types of records that are covered by this standard.

Consists of: Copies of contracts, subcontracts, equipment rental and supplemental agreements, monthly and final statements (DOT 9's); time sheets (DOT 488's); requests for allotment (DOT 107); change orders (DOT 187); applications for reduction in retainage and waiver of claims (DOT 491); test reports; daily reports; quantity books; and related correspondence. Also included are original project diaries, inspection reports and pay items not included in Highway Project Files maintained by the General Office.

Arrangement: Numerically by project number

Index: By project

Media: Paper

Retention

Requirements: Administrative need: six (6) years

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Disposition

Instructions: When project is officially closed (when final release is received):
Remove from active file and place in inactive file;
Cut off at end of calendar year;
Hold in inactive file six (6) years;
Destroy.

Send a copy of the listing of records, destroyed by the District Office, to the DOT Records Management Officer in Atlanta.

Note: Records cannot be discarded if under litigation.

The State Records Committee has approved this recommended retention schedule and disposition plan for the named record series by the named creating office.

Signed:


Edward Weldon, Secretary of State Designee

12/8/97
Date



APPLICATION FOR RECORDS RETENTION SCHEDULE

860516-01

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Transportation Construction Division District Offices Construction Management of Supervision	Application Number 173-A	
Application Number		Date Received MAY 16 1986	Date Completed JUN 5 1986
2. Person to Contact Martha Beck		Working Title Records Management Officer	Telephone Number 656-6861
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 173 (6/16/72) Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1957 Latest Present		5. Records Series Title (followed by title used in office; if different) (DIVISION-WIDE COMMON SCHEDULE) HIGHWAY PROJECT FILES (DISTRICT OFFICE REFERENCE FILES)	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Construction Division is responsible for Construction Supervision and Management state-wide through the Department's seven district offices. Centrally the Division also controls materials quality through its central laboratory (and six branch laboratories) and process all construction pay statements through its Office of Contract Administration. Through its district organizations, all construction project activities are directly managed and documented by local engineering technical personnel. The documentation includes, but is not limited to project diaries which reflect daily progress and conditions on the project; inspection diaries which reflect quantity of material that was placed on the project; and pay item records are the types of records which are the subject of this standard.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: maintaining reference copies of highway project files for use by District Offices during the course of construction projects. Included are: copies of contracts, subcontracts, equipment rental and supplemental agreements, monthly and final statements (DOT 9's), time sheets (DOT 488's), requests for allotment (DOT 107), change orders (DOT 187), applications for reduction in retainage and waiver of claims (DOT 491), test reports, daily reports, quantity books, and related correspondence. Also included are original project diaries, inspection reports and pay items not included in Highway Project Files maintained by the General Office. File is arranged: numerically by project number.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____? Seldom referenced after project is closed.			
9. Annual Rate of Accumulation of Records Letter-size drawers 35 ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

X	a. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	b. Does the series contain inspection diaries and pay items?
X	c. Is this a vital record? Serves as a back-up to General Office files
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? Separate disposition needed for project diaries and pay items.
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? General Office retains Department's official files
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | 20* years. | e. Administrative need | 7 years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

*a. Original records (project diaries, inspection diaries and pay items) must be retained 20 years to correspond with related contract records (O.C.G.A. 9-3-23) maintained by General Office.

e. Needed for daily reference by office during the course of construction project. When project is completed, used for research by local officials and public.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

When project is officially closed, remove corresponding project folders from active file and place in inactive file; cut off inactive file at end of each calendar year; hold in current files area 7 years; then remove project diaries, inspection diaries and pay item reports and transfer to D.O.T. Records Management Office; destroy remainder of file.

D.O.T. Records Management Office:

Project Diaries, Inspection Diaries and Pay Item Reports: Upon receipt from District Office, transfer to State Records Center; hold 13 years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Alva R Byrom	5/9/86	Martha B Beck	5/8/86
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	6-4-86
		Secretary of State/Designee	5/23/86
		Attorney General/Designee	5/23/86



APPLICATION FOR RECORDS RETENTION SCHEDULE

860516-01

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Transportation Construction Division District Offices Construction Management of Supervision	Application Number 173-A	
Application Number		Date Received MAY 16 1986	Date Completed
2. Person to Contact Martha Beck		Working Title Records Management Officer	
		Telephone Number 656-6861	
3. Action Requested			
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.			
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.			
c. <input checked="" type="checkbox"/> Amend Application No. 173 (6/16/72) Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest Latest 1957 Present		5. Records Series Title (followed by title used in office; if different) (DIVISION-WIDE COMMON SCHEDULE) HIGHWAY PROJECT FILES (DISTRICT OFFICE REFERENCE FILES)	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Construction Division is responsible for Construction Supervision and Management state-wide through the Department's seven district offices. Centrally the Division also controls materials quality through its central laboratory (and six branch laboratories) and process all construction pay statements through its Office of Contract Administration. Through its district organizations, all construction project activities are directly managed and documented by local engineering technical personnel. The documentation includes, but is not limited to project diaries which reflect daily progress and conditions on the project; inspection diaries which reflect quantity of material that was placed on the project; and pay item records are the types of records which are the subject of this standard.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: maintaining reference copies of highway project files for use by District Offices during the course of construction projects. Included are: copies of contracts, subcontracts, equipment rental and supplemental agreements, monthly and final statements (DOT 9's), time sheets (DOT 488's), requests for allotment (DOT 107), change orders (DOT 187), applications for reduction in retainage and waiver of claims (DOT 491), test reports, daily reports, quantity books, and related correspondence. Also included are original project diaries, inspection reports and pay items not included in Highway Project Files maintained by the General Office.			
File is arranged: numerically by project number.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____? Seldom referenced after project is closed.			
9. Annual Rate of Accumulation of Records Letter-size drawers 35 ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

ORIGINAL
AS SUBMITTED

X	a. Is this the official copy of the series? Department's official copies of highway project files are maintained by General Office, with exception of project diaries, inspection diaries and pay items.
X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	c. Is this a vital record? Serves as a back-up to General Office files
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? Separate disposition needed for project diaries and pay items
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? General Office retains Department's official files
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | 20* years. | e. Administrative need | 7 years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

*a. Original records (project diaries, inspection diaries and pay items) must be retained 20 years to correspond with related contract records (O.C.G.A. 9-3-23) maintained by General Office.

e. Needed for daily reference by office during the course of construction project. When project is completed, used for research by local officials and public.

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.

☒ Other (Specify)

When project is officially closed, remove corresponding project folders from active file and place in inactive file; cut off inactive file at end of each calendar year; hold in current files area 7 years; then remove project diaries, inspection diaries and pay item reports and transfer to D.O.T. Records Management Office; destroy remainder of file.

D.O.T. Records Management Office:

Project Diaries, Inspection Diaries and Pay Item Reports: Upon receipt from District Office, transfer to State Records Center; hold 13 years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Alva R Byron	5/9/86	Martha B Beck	5/8/86
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	
		Secretary of State/Designee	Edward Ueland 5/23/86
		Attorney General/Designee	George S. ... 5/23/86



STATE
OF
GEORGIA

31-07
1
Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

PAGE
1

1. Application Date		INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE			
2. Agency Application No.				Date Received		Application No.	
3. AGENCY, Division, Subdivision & Administering Office Address State Transportation Agency Divisions 1-7		4. Person to Contact Tom Kitchens		Date Completed JUN 14 1972 / 173 JUN 16 1972			
		5. Working Title Records Management Off.		6. Tel. No. 656-5595			
7. ACTION REQUESTED							
<input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.							
8. Inclusive Dates		9. EXACT SERIES TITLE Project Documentation and Correspondence Relating to Construction of Highway Projects Field Files (-) CONSTRUCTION					
10. What function performed resulted in creation of this series Contracts on each project are kept in Division offices, along with monthly statements, time sheets, correspondence and the necessary documentation required to support all pay quantities made to the contractors for construction of highway projects.							
11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any Contracts, Sub-Contracts, Equipment Rentals, H.D.9's for monthly and Final Statements, H.D. 488 Time Sheets, H.D. 407 Request for allotment, H.D.358 Supplemental Agreements, H.D. 187 change orders. H.D. 491 Application for Reduction in Retainage and Waiver of Claims, Project Diaries, Inspector Diaries, Test Reports, Daily Reports, Quantity Books, and Correspondence.							
12. EQUIPMENT OCCUPIED		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION		No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers				FLOOR SPACE OCCUPIED (Square Feet)		In Office(s) In Storage Area(s)	
Legal-size File Drawers				By Annual Accumulation		This Year's	Last Year's
				AVERAGE DAILY REFERENCES		Preceding Year's	All Prior Years'

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☒ YES ☐ NO
14. Is there a duplication of this series in another office or agency? ☒ YES ☐ NO
Portions of this file is duplicated in the Atlanta Office Files, but only in part.
15. Is the information contained in this series ever summarized or published? ☐ YES ☒ NO
16. Does the series contain classified information requiring security handling? ☐ YES ☒ NO
17. Does the series document policies and procedures of agency's operation or function? ☐ YES ☒ NO
18. Could the function be performed if the files were lost or destroyed? ☐ YES ☒ NO
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☒ NO
20. Does the record series provide data as input to an EDP file? ☐ YES ☒ NO
21. Does the record series contain documentation produced as EDP printout? ☐ YES ☒ NO
22. Is the series affected by Federal or grant funds? ☒ YES ☐ NO
- Project Records involved in Federal Projects must be kept 3 yrs. after final payment has been made to the State by the Federal Government.
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☒ NO

24. REQUIREMENTS. The following requires the files to be kept indefinitely years:

- a. ☒ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☒ FEDERAL LAW e. ☐ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE

(Cite Law, Statute, or other reason for the retention requirement)

Federal Regulations PPM30-9 requires project File Records on Federal funded

Projects to be kept 3 yrs. after final voucher has been paid by the Federal Gov. to the State. State Law Requires project records to be retained 7 years after final payment is made by the State to contractors.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - ☐ CALENDAR YEAR - ☐ FISCAL YEAR - ☒ OTHER Completed Project , then:

STATE AND FEDERAL FUNDED PROJECTS: Retain in CFA 3 years after final payment from Federal Government to State and 7 years after payment to contractors by State, whichever is later, then destroy.

STATE FUNDED PROJECTS: Retain in CFA or local holding area 7 years after final payment to contractor, then destroy.

(Indicate briefly rationale for recommendations above/or write additional remarks):
The foregoing recommendations will allow Field Construction Project records to be kept a reasonable period of time in which to satisfy Federal regulations, State Law, and Administrative needs.

(ATTACH SAMPLES OF THE SERIES WHEN POSSIBLE)

26. Inventory taken by	Recommendations prepared by	Approved for Division Date	Records Management Officer Date
			John J. Kitchen 6-8-72
Recommendations in Paragraph 25 are:	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Head Agency	Date
	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Deputy Agency	Date
	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Secretary of State	6-15-72
	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Carroll Hart	6-13-72
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Dept. of Law	6-15-72